

# EXHIBIT A

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

Washington, D.C. 20549

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

|   |                    |
|---|--------------------|
| OMB Number:                                     | 3235-0287          |
| Expires:  | September 30, 1998 |
| Estimated average burden<br>hours per response: | 0.5                |

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

|  |  |  |  |   |  |
|--|--|--|--|---|--|
| 1. Name and Address of Reporting Person *  |  | 2. Issuer Name and Ticker or Trading Symbol  |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)  |  |
| <b>Rickey, David M</b><br>(Last) (First) (Middle)<br><b>6290 Sequence Drive</b><br><b>San Diego, CA. 92121</b> |  | <b>Applied Micro Circuits Corp (AMCC)</b><br>3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)<br><br>4. Statement for Month/Year<br><b>April 2002</b> |  | <u> X </u> Director <u> </u> 10% Owner<br><u> X </u> Officer <u> </u> Other<br>(give title below)<br><b>COB and CEO</b><br><b>CORPORATE</b>                           |  |
|  |  | 5. If Amendment, Date of Original (Month/Year)   |  | 7. Individual or Joint/Group Filing (Check Applicable Line)<br><u> X </u> Form filed by One Reporting Person<br><u> </u> Form filed by More than One Reporting Person |  |
| <b>PHONE: 858-535-3462 FAX: 858-535-3502</b>   |  |  |  |   |  |

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

[illegible]

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.



Rickey, David M  
6290 Sequoia Drive  
San Diego, CA. 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp (AMCC)  
April 2002

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
  - (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
-

# FORM 4

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

|  |                    |
|--|--------------------|
| OMB APPROVAL                                   |                    |
| OMB Number:                                    | 3235-0287          |
| Expires:                                       | September 30, 1998 |
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|  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|
| 1. Name and Address of Reporting Person*   |  | 2. Issuer Name and Ticker or Trading Symbol  |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable) |  | 7. Individual or Joint/Group Filing (Check Applicable Line)  |  |  |
| <b>Rickey, David M</b><br>(Last)<br><b>6290 Sequence Drive</b><br>(First)<br>(Middle)<br><b>San Diego, CA. 92121</b><br>(Street) |  | <b>Applied Micro Circuits Corp (AMCC)</b><br>3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary) |  | 4. Statement for Month/Year<br><b>March 2002</b>                           |  | <input checked="" type="checkbox"/> Director<br><input checked="" type="checkbox"/> Officer<br>_____ 10% Owner<br>_____ Other<br>(specify below)<br><b>COB and CEO</b><br><b>CORPORATE</b> |  | <input checked="" type="checkbox"/> Form filed by One Reporting Person<br>_____ Form filed by More than One Reporting Person |
| <b>PHONE: 858-535-3462 FAX: 858-535-3502</b>   |  |  |  |  |  |  |  |  |

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

[illegible]

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[illegible]

[illegible]

See continuation page(s) for footnotes

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**Note:** File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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Rickey, David M  
6290 Sequoia Drive  
San Diego, CA 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp (AMCC)  
March 2002

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

# FORM 4

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**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

|  |                    |
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| <b>OMB APPROVAL</b>                                      |                    |
| OMB Number:  | 3235-0287          |
| Expires:   | September 30, 1998 |
| Estimated average burden<br>hours per response . . . . . | 0.5                |

|  |  |   |  |   |  |  |  |
|--|--|---|--|---|--|--|--|
| 1. Name and Address of Reporting Person*   |  | 2. Issuer Name and Ticker or Trading Symbol   |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)  |  | 7. Individual or Joint/Group Filing (Check Applicable Line)  |  |
| <b>Rickey, David M</b><br>(Last)<br><b>6290 Sequence Drive</b><br>(First)<br><b>San Diego, CA. 92121</b><br>(Middle)<br>(Street) |  | <b>Applied Micro Circuits Corp (AMCC)</b><br>3. I.R.S. Identification<br>Number of Reporting<br>Person, if an entity<br>(Voluntary) |  | 4. Statement for<br>Month/Year<br><b>February 2002</b><br>Director _____ 10% Owner _____<br>Officer _____ Other _____<br>(give title below)<br><b>COB and CEO</b><br><b>CORPORATE</b> |  | 7. Individual or Joint/Group Filing (Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person |  |
| <b>PHONE: 858-535-3462 FAX: 858-535-3502</b><br>(City)   |  |   |  |   |  |  |  |

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security<br>(Instr. 3) | 2. Trans-<br>action<br>Date<br><br>(Month/<br>Day/<br>Year) | 3. Trans-<br>action<br>Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) |        |               | 5. Amount of<br>Securities<br>Beneficially<br>Owned at<br>End of Month<br>(Instr. 3 and 4) | 6. Owner-<br>ship<br>Form:<br>Direct<br>(D) or<br>Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Owner-<br>ship<br>(Instr. 4) |
|------------------------------------|---|---|---|--------|---------------|--|---|--|
|                                    |   | Code                                      | V   | Amount | (A) or<br>(D) | Price  |   |  |
| Common Stock                       |   |   |   |        |               | 5,371  | D   |  |
| Common Stock                       | 02/04/02  | M   |   | 2,820  | A             | \$2,95313  | I   | by Family Trust  |
| Common Stock                       | 02/04/02  | M   |   | 10,512 | A             | \$2,95313  | I   | by Family Trust  |
| Common Stock                       | 02/04/02  | M   |   | 26,667 | A             | \$6,48438  | I   | by Family Trust  |
| Common Stock                       |   |   |   |        |               | 7,585  | I   | by Spouse  |

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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.



**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned  
(e.g. puts, calls, warrants, options, convertible securities)**

[illegible]

### Explanation of Responses:

See continuation page(s) for footnotes

**\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).**

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S/ David M. Rickey  
\*\*Signature of Reporting Person

3/8/02

Date \_\_\_\_\_

Applied Micro Circuits Corp (AMCC)  
February 2002

Rickey, David M  
6290 Sequence Drive  
San Diego, CA. 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

(Print or Type Responses)

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

(Print or Type Responses)

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| Case 3:07-cv-02917-MJJ Document 1-2 Filed 06/10/07 Page 11 of 46<br><b>1. Name and Address of Reporting Person*</b><br><br><div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>Rickey, David M<br/>(Last) (First)</p> <p>6290 Sequence Drive<br/>San Diego, CA. 92121</p> <p>PHONE: 858-535-3462 FAX: 858-535-3502</p> </div> <div style="width: 45%;"> <p>(Middle)</p> <p>(Street)</p> <p>(State)</p> <p>(Zip)</p> </div> </div> |  | <b>2. Issuer Name and Ticker or Trading Symbol</b><br><br>Applied Micro Circuits Corp (AMCC)<br><br>3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)<br>January 2002<br>4. Statement for Month/Year<br>5. If Amendment, Date of Original (Month/Year) |  | <b>6. Relationship of Reporting Person(s) to Issuer</b><br>(Check all applicable)<br><input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other<br>COB and CEO (specify below)<br>CORPORATE |  |
|---|--|--|--|--|--|

| 1. Title of Security (Instr. 3) | 2. Trans-action Date (Month/Day/Year) | 3. Trans-action Code (Instr. 8) |   | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) |            | 5. Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4) | 6. Owner-ship Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|---------------------------------------|---------------------------------|---|---|------------|---|---|---|
|                                 |                                       | Code                            | V | Amount  | (A) or (D) |   |   |   |
| Common Stock                    |                                       |                                 |   |   |            |   |   |   |
| Common Stock                    | 01/07/02                              | M                               |   | 2,821   | A          | \$2.95313   | I   | by Family Trust                                       |
| Common Stock                    | 01/07/02                              | M                               |   | 10,513  | A          | \$2.95313   | I   | by Family Trust                                       |
| Common Stock                    | 01/07/02                              | M                               |   | 26,667  | A          | \$6.48438   | I   | by Family Trust                                       |
| Common Stock                    |                                       |                                 |   |   |            | 7,585   | I   | by Spouse   |
|                                 |                                       |                                 |   |   |            |   |   |   |
|                                 |                                       |                                 |   |   |            |   |   |   |
|                                 |                                       |                                 |   |   |            |   |   |   |
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\*If the form is filed by more than one reporting person, see Instruction 4(b)(v).  
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**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned  
(e.g. puts, calls, warrants, options, convertible securities)**

[illegible]

### Explanation of Responses:

See continuation page(s) for footnotes

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*Don M. Webb*

**\*\*Signature of Reporting Person**

Date \_\_\_\_\_

Applied Micro Circuits Corp (AMCC)  
January 2002

Rickey, David M  
6290 Sequencia Drive  
San Diego, CA 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
- The end of period holdings includes 1,461 shares acquired under the AMCC 1998 Employee Stock Purchase Plan in January of 2002.



**FORM 4 (continued)** **Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g. puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security<br>(Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date<br>(Month/Day/Year) | 4. Transaction Code<br>(Instr. 8) |   | 5. Number of Derivative Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4, and 5) |           | 6. Date Exercisable and Expiration Date<br>(Month/Day/Year) |                 | 7. Title and Amount of Underlying Securities<br>(Instr. 3 and 4) |                            | 8. Price of Derivative Security<br>(Instr. 5) | 9. Number of Derivative Securities Beneficially Owned at End of Month<br>(Instr. 4) | 10. Ownership Form of Derivative Security: Direct (D) or Indirect (I)<br>(Instr. 4) | 11. Nature of Indirect Beneficial Ownership<br>(Instr. 4) |
|---|--|---|-----------------------------------|---|--|-----------|---|-----------------|--|----------------------------|---|---|---|---|
|   |  |   | Code                              | V | (A)  | (D)       | Date Exercisable  | Expiration Date | Title  | Amount or Number of Shares |   |   |   |   |
| Incentive Stock Option (right to buy)         | \$2.95313  | 11/12/01                                | M                                 |   |  | 5,642     | (2)   | 03/27/08        | Common Stock   | 5,642                      |   | 14,104  | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$2.95313  | 11/12/01                                | M                                 |   |  | 21,025    | (2)   | 03/27/08        | Common Stock   | 21,025                     |   | 52,562  | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$6.48438  | 11/12/01                                | M                                 |   |  | 53,334    | (3)   | 04/23/09        | Common Stock   | 53,334                     |   | 453,333   | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$14.62000   | 11/27/01                                | D                                 | V |  | 400,000   | (4)   | 07/11/11        | Common Stock   | 400,000                    | (5)   | 0   | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$35.98450   | 11/27/01                                | D                                 | V |  | 4,000,000 | (4)   | 01/19/10        | Common Stock   | 4,000,000                  | (6)   | 0   | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$53.87500   | 11/27/01                                | D                                 | V |  | 800,000   | (4)   | 12/21/10        | Common Stock   | 800,000                    | (7)   | 0   | D   |   |
|   |  |   |                                   |   |  |           |   |                 |  |                            |   |   |   |   |
|   |  |   |                                   |   |  |           |   |                 |  |                            |   |   |   |   |
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|   |  |   |                                   |   |  |           |   |                 |  |                            |   |   |   |   |

Explanation of Responses:

See continuation page(s) for footnotes

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*Sam M. July*

\*\*Signature of Reporting Person

Date



Rickey, David M  
6290 Sequence Drive  
San Diego, CA. 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp (AMCC)  
November 2001

Page 3 of 3 pages

- (1) Receipt of shares in a pro rata liquidating distribution from Tectonic Fund L.P, a limited partnership of which the reporting person was a limited partner. The reporting person did not have or exercise control over the general partner of the limited partnership or investment control over the limited partnership's portfolio transactions.
- (2) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (3) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
- (4) The option provided for vesting at 1/48 per month beginning on the date of grant.
- (5) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on July 11, 2001. In exchange, the reporting person will receive a replacement option on May 28, 2002.
- (6) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on January 19, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.
- (7) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on December 21, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.



UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

**OMB APPROVAL**  
OMB Number: 3235-00-19  
Expires: September 30, 1999  
Estimated average burden  
hours per response

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

(Print or Type Responses)

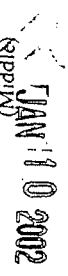

|   |  |  |  |   |  |
|---|--|--|--|---|--|
| 1. Name and Address of Reporting Person*<br><div style="text-align: center;">  </div> Rickey, David M<br>(Last)<br>6290 Sequence Drive<br>San Diego, CA. 92121<br>(First) (Street) (Zip) |  | 2. Issuer Name and Ticker or Trading Symbol<br><br>Applied Micro Circuits Corp (AMCC)<br>3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)<br>4. Statement for Month/Year<br>December 2001 |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br><input checked="" type="checkbox"/> Director<br><input checked="" type="checkbox"/> 10% Owner<br><input type="checkbox"/> Officer<br><input type="checkbox"/> Other<br>(give title below)<br>COB and CEO<br>CORPORATE |  |
| PHONE: 858-535-3462 FAX: 858-535-3502<br>(City) (State)   |  | 7. Individual or Joint/Group Filing (Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person         |  |   |  |

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/<br>Day/<br>Year) | 3. Transaction Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) |        |               | 5. Amount of<br>Securities<br>Beneficially<br>Owned at<br>End of Month<br>(Instr. 3 and 4) | 6. Owner-<br>ship Form:<br>Direct<br>(D) or<br>Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Owner-<br>ship<br>(Instr. 4) |
|------------------------------------|---|-----------------------------------|---|--------|---------------|--|--|--|
|                                    |   | Code                              | V   | Amount | (A) or<br>(D) | Price  |  |  |
| Common Stock                       |   |                                   |   |        |               |  | D  |  |
| Common Stock                       | 12/05/01  | M                                 |   | 2,821  | A             | \$2.95313  | I  | by Family Tru  |
| Common Stock                       | 12/05/01  | M                                 |   | 10,512 | A             | \$2.95313  | I  | by Family Tru  |
| Common Stock                       | 12/05/01  | M                                 |   | 26,666 | A             | \$6.48438  | I  | by Family Tru  |
| Common Stock                       |   |                                   |   |        |               |  | I  | by Spouse  |
|                                    |   |                                   |   |        |               |  |  |  |
|                                    |   |                                   |   |        |               |  |  |  |
|                                    |   |                                   |   |        |               |  |  |  |
|                                    |   |                                   |   |        |               |  |  |  |
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|                                    |   |                                   |   |        |               |  |  |  |

  
**31544722**  
 Page 17 of 46

Reminder: Report on a separate line for each class of security.

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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**\*\*Signature of Reporting Person**

Date 1/9/02

Rickey, David M  
6290 Sequoia Drive  
San Diego, CA 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp (AMCC)  
December 2001

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

# FORM 4

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

UNITED STATES SECURITIES AND EXCHANGE  
Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940.

(Print or Type Responses)

|  |  |  |  |   |  |
|--|--|--|--|---|--|
| 1. Name and Address of Reporting Person*   |  | 2. Issuer Name and Ticker or Trading Symbol  |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)  |  |
| <b>Rickey, David M</b><br>(Last)<br>6290 Sequence Drive<br>San Diego, CA. 92121<br><br>(First)<br>(Middle)<br>(Street) |  | <b>Applied Micro Circuits Corp (AMCC)</b><br>4. Statement for<br>Month/Year<br>November 2001 |  | X Director<br>X Officer<br>_____ 10% Owner<br>_____ Other<br>(specify below)<br><b>COB and CEO</b><br><b>CORPORATE</b>                                    |  |
| PHONE: 858-535-3462 FAX: 858-535-3502  |  | 5. If Amendment,<br>Date of Original<br>(Month/Year)<br>December 2001                        |  | 7. Individual or Joint/Group Filing (Check Applicable Line)<br>X Form filed by One Reporting Person<br>_____ Form filed by More than One Reporting Person |  |

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

[illegible]

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

**Explanation of Responses:**

*Don M. Cook*  
\*\*Signature of Reporting

Signature of Reporting Person

Date \_\_\_\_\_

Page 2 of 3 pages

Rickey, David M

6290 Sequoia Drive

San Diego, CA. 92121

PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp (AMCC)

November 2001

Page 3 of 3 pages

- (1) Receipt of shares in a pro rata liquidating distribution from Tectonic Fund LP, a limited partnership of which the reporting person was a limited partner. The reporting person did not have or exercise control over the general partner of the limited partnership or investment control over the limited partnership's portfolio transactions.
- (2) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (3) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
- (4) The option provided for vesting at 1/48 per month beginning on the date of grant.
- (5) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on July 11, 2001. In exchange, the reporting person will receive a replacement option on May 28, 2002.
- (6) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on January 19, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.
- (7) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on December 21, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.



# FORM 4

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940


|  |                    |
|--|--------------------|
| OMB APPROVAL                                   |                    |
| OMB Number:                                    | 3235-0287          |
| Expires:                                       | September 30, 1998 |
| Estimated average burden<br>hours per response | 0.5                |

|  |  |  |  |  |
|--|--|--|--|--|
| 1. Name and Address of Reporting Person*<br><br><b>Rickey, David M</b><br>(Last) (First) (Middle)<br><b>6290 Sequence Drive</b><br><b>San Diego, CA. 92121</b><br><br>(Street) | 2. Issuer Name and Ticker or Trading Symbol<br><br><b>Applied Micro Circuits Corp (AMCC)</b> | 3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary)<br><br>4. Statement for Month/Year<br><br><b>November 2001</b> | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br><input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other<br>(give title below)<br><b>COB, President and CEO</b><br><b>CORPORATE</b> | 7. Individual or Joint/Group Filing (Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person |
|--|--|--|--|--|

**PHONE: 858-535-3462 FAX: 858-535-3502**

Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security<br>(Instr. 3) | 2. Trans-<br>action<br>Date<br><br>(Month/<br>Day/<br>Year) | 3. Trans-<br>action<br>Code<br>(Instr. 8) |   | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) |               |           | 5. Amount of<br>Securities<br>Beneficially<br>Owned at<br>End of Month<br>(Instr. 3 and 4) | 6. Owner-<br>ship<br>Form:<br>Direct<br>(D) or<br>Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Owner-<br>ship<br>(Instr. 4) |
|------------------------------------|---|---|---|---|---------------|-----------|--|---|--|
|                                    |   | Code                                      | V | Amount  | (A) or<br>(D) | Price     |  |   |  |
| Common Stock                       |   |   |   |   |               |           | 5,371  | D   |  |
| Common Stock                       | 11/12/01  | M   |   | 5,642   | A             | \$2.95313 |  | I   | by Family Trust  |
| Common Stock                       | 11/12/01  | M   |   | 21,025  | A             | \$2.95313 |  | I   | by Family Trust  |
| Common Stock                       | 11/12/01  | M   |   | 53,334  | A             | \$6.48438 | 1,033,806  | I   | by Family Trust  |
| Common Stock                       |   |   |   |   |               |           | 7,585  | I   | by Spouse  |
|                                    |   |   |   |   |               |           |  |   |  |
|                                    |   |   |   |   |               |           |  |   |  |
|                                    |   |   |   |   |               |           |  |   |  |
|                                    |   |   |   |   |               |           |  |   |  |
|                                    |   |   |   |   |               |           |  |   |  |


  
31529297

  
31529297

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

**FORM 4 (continued)**

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g. puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security<br>(Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date<br>(Month/Day/Year) | 4. Transaction Code<br>(Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4, and 5) |     | 6. Date Exercisable and Expiration Date<br>(Month/Day/Year) |                  | 7. Title and Amount of Underlying Securities<br>(Instr. 3 and 4) |                            | 8. Price of Derivative Security<br>(Instr. 5) | 9. Number of derivative Securities Beneficially Owned at End of Month<br>(Instr. 4) | 10. Ownership Form of Derivative Security: Direct (D) or Indirect (I)<br>(Instr. 4) | 11. Nature of Indirect Beneficial Ownership<br>(Instr. 4) |
|---|--|---|-----------------------------------|--|-----|---|------------------|--|----------------------------|---|---|---|---|
|   |  |   |                                   | Code   | (A) | (D)   | Date Exercisable | Title  | Amount or Number of Shares |   |   |   |   |
| Incentive Stock Option (right to buy)         | \$2.95313  | 11/12/01                                | M                                 |  |     | 5,642   | (1)              | Common Stock   | 5,642                      |   | 14,104  | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$2.95313  | 11/12/01                                | M                                 |  |     | 21,025  | (1)              | Common Stock   | 21,025                     |   | 52,562  | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$6.48438  | 11/12/01                                | M                                 |  |     | 53,334  | (2)              | Common Stock   | 53,334                     |   | 453,333   | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$14.62000   | 11/27/01                                | D                                 | V  |     | 400,000   | (3)              | Common Stock   | 400,000                    | (4)   | 0   | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$35.98450   | 11/27/01                                | D                                 | V  |     | 4,000,000   | (3)              | Common Stock   | 4,000,000                  | (5)   | 0   | D   |   |
| Non-Qualified Stock Option (right to buy)     | \$53.87500   | 11/27/01                                | D                                 | V  |     | 800,000   | (3)              | Common Stock   | 800,000                    | (6)   | 0   | D   |   |
|   |  |   |                                   |  |     |   |                  |  |                            |   |   |   |   |
|   |  |   |                                   |  |     |   |                  |  |                            |   |   |   |   |
|   |  |   |                                   |  |     |   |                  |  |                            |   |   |   |   |
|   |  |   |                                   |  |     |   |                  |  |                            |   |   |   |   |
|   |  |   |                                   |  |     |   |                  |  |                            |   |   |   |   |
|   |  |   |                                   |  |     |   |                  |  |                            |   |   |   |   |

Explanation of Responses:

See continuation page(s) for footnotes

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations.  
See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

/s/ **David M. Rickey**  
\*\*Signature of Reporting Person

**12/8/01**  
Date



Rivley, David M  
6290 Sequoia Drive  
San Diego, CA. 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp (AMCC)  
November 2001

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
- (3) The option provided for vesting at 1/48 per month beginning on the date of grant.
- (4) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on July 11, 2001. In exchange, the reporting person will receive a replacement option on May 28, 2002.
- (5) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on January 19, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.
- (6) On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on December 21, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940.

(Print or Type Responses)

**1. Name and Address of Reporting Person \***

**Rickey, David M**

(Last)  
6290 Sequence Drive  
San Diego, CA. 92121

**PHONE: 858-535-3462 FAX: 858-535-3502**

(City) (State)

(Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

[illegible]

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over)  
SEC 1474 (7-97)

**OMB APPROVAL**

OMB Number: 3235-0287  
Expires: September 30, 1998  
Estimated average burden  
hours per response ..... 0.5

1002 6 0 2001

## 2. Issuer Name and Ticker or Trading Symbol

**Applied Micro Circuits Corp (AMCC)**

|   |  |
|---|--|
| 3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary) | 4. Statement for Month/Year<br><b>October 2001</b> |
|---|--|

5. If Amendment,  
Date of Original  
(Month/Year)

6. Relationship of Reporting Person(s) to Issuer  
354 (Check all applicable)

☒ Director  
☒ Officer  
 \_\_\_\_\_ 10% Owner  
 \_\_\_\_\_ Other (specify below)

COB and CEO  
CORPORATE

7. Individual or Joint/Group Filing (Check Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting Person

31513539

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned  
(e.g. puts, calls, warrants, options, convertible securities)**

[illegible]

### Explanation of Responses:

Enoch

**\*\*Signature of Reporting Person**

11/7/01  
Date

\*\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations.  
See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

**Note:** File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

**FORM 4**

☐ Check this box if no longer subject to Section 16. Form 4 and Form 5 obligations may continue. See Instruction 1(b).

(Print or Type Responses)

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

## OMB APPROVAL

OMB Number: 3235-0287  
Expires: September 30, 1998  
Estimated average burden hours per response: 0.5

|   |  |   |  |   |  |
|---|--|---|--|---|--|
| 1. Name and Address of Reporting Person |  | 2. Issuer Name and Ticker or Trading Symbol                                   |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)  |  |
| Rickey, David M                         |  | Applied Micro Circuits Corp (AMCC)  |  | <input checked="" type="checkbox"/> Director<br><input checked="" type="checkbox"/> Officer<br><input type="checkbox"/> 10% Owner<br><input type="checkbox"/> Other (specify below)<br><b>COB and CEO</b><br><b>CORPORATE</b> |  |
| (Last)                                  |  | 3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary) |  | 7. Individual or Joint/Group Filing (Check Applicable Line)   |  |
| (First)                                 |  | 4. Statement for Month/Year   |  | <input checked="" type="checkbox"/> Form filed by One Reporting Person  |  |
| (Middle)                                |  | September 2001  |  | <input type="checkbox"/> Form filed by More than One Reporting Person   |  |
| (Street)                                |  | 5. If Amendment, Date of Original (Month/Year)                                |  |   |  |
| 6290 Sequoia Drive                      |  |   |  |   |  |
| San Diego, CA. 92121                    |  |   |  |   |  |

PHONE: 858-535-3462 FAX: 858-535-3502

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security<br>(Instr. 3) | 2. Trans-<br>action<br>Date<br>(Month/<br>Day/<br>Year) | 3. Trans-<br>action<br>Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) |         | 5. Amount of<br>Securities<br>Beneficially<br>Owned at<br>End of Month<br>(Instr. 3 and 4) | 6. Owner-<br>ship<br>Form:<br>Direct<br>(D) or<br>Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Owner-<br>ship<br>(Instr. 4) |
|------------------------------------|---|---|---|---------|--|---|--|
|                                    |   |   | Code  | Amount  |  |   |  |
| Common Stock                       |   |   |   |         | 5,371  | D   |  |
| Common Stock                       | 09/17/01  | M   |   | 5,641   | A  |   | by Family Trust  |
| Common Stock                       | 09/17/01  | M   |   | 21,025  | A  |   | by Family Trust  |
| Common Stock                       | 09/17/01  | M   |   | 53,333  | A  |   | by Family Trust  |
| Common Stock                       | 09/18/01  | J<br>(I)                                  |   | 100,000 | A  |   | by Family Trust  |
| Common Stock                       | 09/19/01  | J<br>(I)                                  |   | 100,000 | A  |   | by Family Trust  |
| Common Stock                       | 09/24/01  | J<br>(I)                                  |   | 50,000  | A  |   | by Family Trust  |
| Common Stock                       | 09/25/01  | J<br>(I)                                  |   | 150,000 | A  |   | by Family Trust  |
| Common Stock                       | 09/26/01  | J<br>(I)                                  |   | 50,000  | A  |   | by Family Trust  |
| Common Stock                       | 09/27/01  | J<br>(I)                                  |   | 200,000 | A  |   | by Family Trust  |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over)  
Page 1 of 3 pages SEC 1474 (7-97)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned  
(e.g. puts, calls, warrants, options, convertible securities)**

[illegible]

**Explanation of Responses:**

See continuation page(s) for footnotes

**\*\*\*** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

**Note:** File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

s/David M. Rickey      10/2/01  
 \*\*Signature of Reporting Person      Date

Page 2 of 3 pages

Page 2  
SEC 1474 (7-97)

Rickey, David M.  
6290 Sequence Drive  
San Diego, CA 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp (AMCC)  
September 2001

Page 3 of 3 pages

- (1) Acquisition of stock made in connection with the SEC Emergency Order Pursuant to Section 12 (K) (2) of the Exchange Act of 1934 (Release No. 44791)
- (2) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (3) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.





**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(*e.g.* puts, calls, warrants, options, convertible securities)

[illegible]

### Explanation of Responses:

See continuation page(s) for footnotes

**\*\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).**

**Note:** File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

s/David M. Rickey  
\*\*Signature of Reporting Person

8/9/2001  
Date



Rickey, David M.  
6290 Sequoia Drive  
San Diego, CA 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp & MMC (AMCC)  
July 2001

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
- (3) Option vests in 48 monthly installments beginning on July 11, 2001

# FORM 4

**Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

|  |                    |
|--|--------------------|
| OMB APPROVAL                                   |                    |
| OMB Number:                                    | 3235-0287          |
| Expires:                                       | September 30, 1998 |
| Estimated average burden<br>hours per response | ..... 0.5          |

|  |          |   |  |  |  |
|--|----------|---|--|--|--|
| 1. Name and Address of Reporting Person* |          | 2. Issuer Name and Ticker or Trading Symbol                                   |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)   |  |
| Rickey, David M.                         | (First)  | Applied Micro Circuits Corp & MMC (AMCC)                                      |  | <input checked="" type="checkbox"/> Director      10% Owner<br><input checked="" type="checkbox"/> Officer      Other<br>(give title below)<br>President and CEO<br>Chairman of the Board                      |  |
| (Last)                                   | (Middle) | 3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary) |  |  |  |
| 6290 Sequence Drive                      |          | 4. Statement for Month/Year   |  |  |  |
| San Diego, CA. 92121                     |          | April 2001  |  |  |  |
| (Street)                                 |          | 5. If Amendment, Date of Original (Month/Year)                                |  | 7. Individual or Joint/Group Filing (Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person |  |
| PHONE: 858-535-3462 FAX: 858-535-3502    |          |   |  |  |  |

Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

[illegible]

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g. puts, calls, warrants, options, convertible securities)

[illegible]

See continuation page(s) for footnotes

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See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).**

**Note:** File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

**\*\*Signature of Reporting Person**

Rickey, David M.  
6290 Sequoia Drive  
San Diego, CA. 92121  
PHONE: 858-535-3462 FAX: 858-535-3502

Applied Micro Circuits Corp & MMC (AMCC)  
April 2001

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

**FORM 4**

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

|  |  |
|--|--|
| <b>OMB APPROVAL</b>                              |  |
| OMB Number: 3235-0287                            |  |
| Expires: September 30, 1998                      |  |
| Estimated average burden hours per response: 0.5 |  |

|  |          |   |  |
|--|----------|---|--|
| 1. Name and Address of Reporting Person* |          | 2. Issuer Name and Ticker or Trading Symbol                                   | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)   |
| Rickey, David M.<br>(Last)               | (First)  | Applied Micro Circuits Corp & MMC (AMCC)                                      | <input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner  |
| 6290 Sequence Drive<br>(Street)          | (Middle) | 3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary) | <input checked="" type="checkbox"/> Officer (give title below)   |
|  |          | February 2001   | <input type="checkbox"/> Other (specify below)   |
| San Diego, CA. 92121<br>(City)           | (State)  | 5. If Amendment, Date of Original (Month/Year)                                | President and CEO<br>Chairman of the Board   |
|  | (Zip)    |   | 7. Individual or Joint/Group Filing (Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person |

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 2. Transaction Date<br>(Month/Day/Year) | 3. Transaction Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) |   |        | 5. Amount of Securities Beneficially Owned at End of Month<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I)<br>(Instr. 4) | 7. Nature of Indirect Beneficial Ownership<br>(Instr. 4) |
|---|-----------------------------------|---|---|--------|--|---|--|
|   |                                   | Code  | V | Amount | (A) or (D)   | Price   |  |
| Common Stock                            |                                   | 02/01/01  | M | 2,820  | A  | \$2.95313   |  |
| Common Stock                            |                                   | 02/01/01  | S | 2,820  | D  | \$70.21030  |  |
| Common Stock                            |                                   | 02/01/01  | M | 10,512 | A  | \$2.95313   |  |
| Common Stock                            |                                   | 02/01/01  | S | 10,512 | D  | \$70.21030  |  |
| Common Stock                            |                                   | 02/01/01  | M | 26,667 | A  | \$6.48438   |  |
| Common Stock                            |                                   | 02/01/01  | S | 26,667 | D  | \$70.21030  |  |
| Common Stock                            |                                   | 02/01/01  | G | 13,000 | D  |   |  |
| Common Stock                            |                                   | 02/01/01  | S | 645    | D  | \$70.21030  |  |
| Common Stock                            |                                   |   |   |        |  | 12,371  |  |
| Common Stock                            |                                   |   |   |        |  | 21,329  |  |
| Common Stock                            |                                   |   |   |        |  |   | by Family  |



Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

[illegible]

See continuation page(s) for footnotes

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

Page 2  
SEC 1474 (7-97)

Rickey, David M.  
6290 Sequence Drive  
San Diego, CA. 92121

Applied Micro Circuits Corp & MMC (AMCC)  
February 2001

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25 % of the shares on March 31, 2000 and 1/48 per month thereafter.



**FORM 4**

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

|  |                             |
|--|-----------------------------|
| <b>OMB APPROVAL</b>                              |                             |
| OMB Number: 3235-0287                            | Expires: September 30, 1998 |
| Estimated average burden hours per response: 0.5 |                             |

|  |          |   |  |  |   |
|--|----------|---|--|--|---|
| 1. Name and Address of Reporting Person* |          | 2. Issuer Name and Ticker or Trading Symbol                                   |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)   |   |
| Rickey, David M.<br>(Last)               | (First)  | Applied Micro Circuits Corp & MMC (AMCC)                                      |  | <input checked="" type="checkbox"/> Director   | <input type="checkbox"/> 10% Owner                |
| 6290 Sequence Drive<br>(Street)          | (Middle) | 3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary) |  | <input checked="" type="checkbox"/> Officer<br>(give title below)  | <input type="checkbox"/> Other<br>(specify below) |
| San Diego, CA. 92121<br>(City)           | (State)  | 4. Statement for Month/Year<br>January 2001                                   |  | <b>President and CEO<br/>Chairman of the Board</b>   |   |
|  | (Zip)    | 5. If Amendment, Date of Original (Month/Year)                                |  | 7. Individual or Joint/Group Filing (Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person |   |

**Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 3. Transaction Code<br>(Instr. 8) | 4. Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4 and 5) |        | 5. Amount of Securities Beneficially Owned at End of Month<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I)<br>(Instr. 4) | 7. Nature of Indirect Ownership<br>(Instr. 4) |
|------------------------------------|---|-----------------------------------|--|--------|--|---|---|
|                                    |   |                                   | Code   | Amount |  |   |   |
| Common Stock                       | 11/30/00                                | G                                 | V  | 200    |  | D   |   |
| Common Stock                       | 01/18/01                                | M                                 |  | 21,025 |  | D   |   |
| Common Stock                       | 01/18/01                                | S                                 |  | 21,025 |  | D   |   |
| Common Stock                       | 01/18/01                                | M                                 |  | 53,333 |  | D   |   |
| Common Stock                       | 01/18/01                                | S                                 |  | 53,333 |  | D   |   |
| Common Stock                       | 01/18/01                                | G                                 | V  | 22,000 |  | D   |   |
| Common Stock                       | 01/18/01                                | S                                 |  | 92,642 |  | D   |   |
| Common Stock                       | 01/08/01                                | M                                 |  | 2,821  |  | I   | by Family Trust                               |



Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.



**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g. puts, calls, warrants, options, convertible securities)

[illegible]

### Explanation of Responses:

See continuation page(s) for footnotes

**\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations.**  
See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

**Note:** File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

Don M. Burke

**\*\*Signature of Reporting Person**

Date \_\_\_\_\_

Rickey, David M.  
6290 Sequence Drive  
San Diego, CA 92121

Applied Micro Circuits Corp & MMC (AMCC)  
January 2001

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.  
The end of month holdings include 367 shares acquired under the AMCC 1998 Employee Stock Purchase Plan in January 2001.

UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*

1. Name and Address of Reporting Person\*

**Rickey, David M.**

(First)

## 6290 Sequence Drive

(Street)

San Diego, CA. 92121

(State)

(Zip)

1. Title of Security  
(Instr. 3)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

[illegible]

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Page 1 of 3 pages SEC 1474 (7-97) (Over)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned  
(e.g. puts, calls, warrants, options, convertible securities)**

[illegible]

### Explanation of Responses:

See continuation page(s) for footnotes

**\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations.**

See 18 U.S.C. 1001 and 15 U.S.C. 781f(a).

**Note:** File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

*Don M. White*  
\*\*Signature of Reporter

**\*\*Signature of Reporting Person**

Date \_\_\_\_\_

7-3-01

Rickey, David M.  
6293 Sequence Drive  
San Diego, CA 92121

Applied Micro Circuits Corporation (AMCC)  
December 2000

Page 3 of 3 pages

- (1) Option vests in 48 equal monthly installments beginning on April 30, 1998.
- (2) Option vests in 48 monthly installments beginning on December 21, 2000.

**FORM 4**

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

U.S. SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

|  |         |   |  |  |   |
|--|---------|---|--|--|---|
| 1. Name and Address of Reporting Person<br>Baker/Tisch Capital (GP), LLC (1) |         | 2. Issuer Name and Ticker or Trading Symbol<br>Incyte Genomics, Inc. ("INCY") |  | 6. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br><br>X Director (2) X 10% Owner (3)<br>Officer (give title below) |   |
| (Last)   | (First) | (Middle)  | 3. IRS or Social Security Number of Reporting Person (Voluntary) | 4. Statement for Month/Year August 2002  | 7. Individual or Joint/Group Filing (Check Applicable Line)<br>Form filed by One Reporting Person<br>X Form filed by More than One Reporting Person |
| New York   |         | 655 Madison Avenue  |  |  |   |
| (City)   |         | (Street)  |  |  |   |
|  |         | New York  |  |  |   |
|  |         | 10021   |  |  |   |
|  |         | (State)   |  |  |   |
|  |         | (Zip)   |  |  |   |

| 1. Title of Security (Instr. 3)                            | 2. Transaction Date (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) |            | 5. Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|--|--------------------------------------|--------------------------------|---|------------|---|--|---|
| Common Stock, par value \$0.001 per share ("Common Stock") | 8/6/02                               | P                              | Amount  | (A) or (D) |   | I  | (4)   |
| Common Stock   | 8/7/02                               | P                              | 15,500  | A          |   | I  | (4)   |
| Common Stock   | 8/8/02                               | P                              | 14,900  | A          |   | I  | (4)   |
| Common Stock   | 8/9/02                               | P                              | 50  | A          | 179,008   | I  | (4)   |
|  |                                      |                                |   |            |   |  |   |
|  |                                      |                                |   |            |   |  |   |
|  |                                      |                                |   |            |   |  |   |

Received  
Thomson Corp  
31724242

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.  
\*If the form is filed by more than one reporting person, see Instruction 4(b)(v).

(Over)